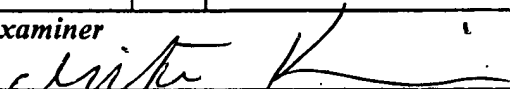


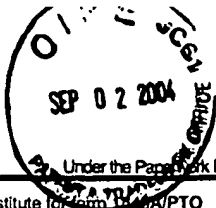
<b>US Department of Commerce Patent and Trademark Office</b>  <b>Form PTO-1449 (Modified)</b>		<b>Atty. Docket No.:</b> 005092.P002		<b>Application No.:</b> Not Yet Assigned		
		<b>Applicant:</b> Nag et al. <span style="float: right;">2143</span>				
		<b>Filing Date:</b> Concurrently herewith				
<b>US Patent Documents</b>						
Examiner's Initials	Date	Document Number	Name	Class	Sub- Class	Filing Date
MK	04/25/00	6,054,987	Richardson	345	348	05/29/98
MK	05/09/00	6,061,723	Walker et al.	709	224	10/08/97
MK	08/22/00	6,108,310	Wilkinson et al.	370	252	09/12/97
MK	09/28/99	5,958,009	Friedrich et al.	709	224	02/27/97
<b>Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)</b>						
MK	AdventNet Excellent Matters, downloaded from Website <a href="http://a1132.g.akamai.net/7/1132/1581/1382cd01af18b6/www.adventnet.com/products.html">http://a1132.g.akamai.net/7/1132/1581/1382cd01af18b6/www.adventnet.com/products.html</a> . 2 pages on 09/13/00.					
MK	Network Node Manager, downloaded from Website <a href="http://www.openview.hp.com/products/nnm/">http://www.openview.hp.com/products/nnm/</a> . 2 pages on 09/13/00.					
MK	Network Node Manager Interactive Demos, downloaded from Website <a href="http://ovweb1.external.hp.com/nnminteract/">http://ovweb1.external.hp.com/nnminteract/</a> . 2 pages on 09/13/00.					
MK	Cisco Network Management, downloaded from Website <a href="http://www.cisco.com/warp/public/44/jump/network_management.shtml">http://www.cisco.com/warp/public/44/jump/network_management.shtml</a> . 5 pages on 09/13/00					
<b>Examiner</b> 			<b>Date Considered</b> 10/25/04			

Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through the citation if not in conformance and not considered. Include a copy of this form with the next communication to the applicant

BEST AVAILABLE COPY

JC932 U.S. PTO  
 09/689222





PTO/SB/08a (05-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form PTO/SB/08a

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

1

of

4

**Complete If Known**

Application Number	09/689,222
Filing Date	October 11, 2000
First Named Inventor	Siddhartha Nag et al.
Art Unit	2143
Examiner Name	Mitra Kianersi
Attorney Docket Number	59033-278849

**U.S. PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
MK	1	US-5,831,975	11-03-1998	Chen et al.	
MK	2	US-6,026,443	02-15-2000	Oskouy et al.	
MK	3	US-6,104,721	8/15/2000	Hsu et al.	
MK	4	US-6,208,638	03-27-2001	Rieley et al.	
MK	5	US-6,212,562	04-03-2001	Huang et al.	
MK	6	US-6,226,678	05-01-2001	Mattaway et al.	
MK	7	US-6,243,376	06-05-2001	Ng et al.	
MK	8	US-6,243,759	06-05-2001	Boden et al.	
MK	9	US-6,259,771	07-10-2001	Kredo et al.	
MK	10	US-6,298,120	10-02-2001	Civanlar et al.	
MK	11	US-6,366,577	04-02-2002	Donovan et al.	
MK	12	US-6,418,139	07-09-2002	Akhtar et al.	
MK	13	US-6,493,348	12-10-2002	Gelman et al.	
MK	14	US-6,515,966	02-04-2003	Bardalai et al.	
MK	15	US-6,606,668	08-12-2003	McLampy et al.	
MK	16	US-6,640,248	10-28-2003	Jorgensen et al.	
MK	17	US-6,647,208	11-11-2003	Kirby et al.	
MK	18	US-6,714,987	03-30-2004	Amin et al.	
MK	19	US-2004/0073641	04-15-2004	Minhazuddin et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
MK	20	WO 02/13023	02-14-2002	Nag et al.		

Examiner  
SignatureDate  
Considered

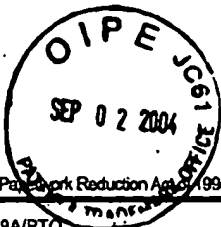
10/20/04

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 18 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**BEST AVAILABLE COPY**

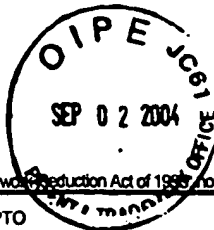


Substitute for form 1449A/PTO		<b>Complete If Known</b>	
		Application Number	09/689,222
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Filing Date	October 11, 2000
		First Named Inventor	Siddhartha Nag et al.
		Group Art Unit	2143
		Examiner Name	Mitra Kianersi
		Attorney Docket Number	59033-278849
Sheet	2	of	4

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T 2
MK	21	BAKER, L., et al., Aggregation of RSVP for IPv4 and IPv6 Reservations, September 2001, printed from Internet at: <a href="http://www.ietf.org/rfc/rfc3175.txt?number=3175">http://www.ietf.org/rfc/rfc3175.txt?number=3175</a> (34 pages).	
MK	22	BRADEN, R., et al., RFC2205 - Resource ReSerVation Protocol (RSVP) – Version 1 Functional Specification, September 1997, printed from Internet at: <a href="http://www.faqs.org/rfcs/rfc2205.html">http://www.faqs.org/rfcs/rfc2205.html</a> (79 pages).	
MK	23	ZHU, C., et al., RFC 2190 – RTP Payload Format for H.263 Video Streams, September 1997, printed from Internet at: <a href="http://www.faqs.org/rfcs/rfc2190.html">http://www.faqs.org/rfcs/rfc2190.html</a> (10 pages).	
MK	24	HANDLEY, M., et al., SIP: Session Initiation Protocol, March 1999, printed from Internet at: <a href="ftp://ftp.isi.edu/in-notes/rfc2543.txt">ftp://ftp.isi.edu/in-notes/rfc2543.txt</a> (143 pages).	
MK	25	SIP: Session Initiation Protocol, updated August 2004, printed from Internet at: <a href="http://www.cs.columbia.edu/sip/">http://www.cs.columbia.edu/sip/</a> (1 page).	
MK	26	SIP: Session Initiation Protocol – Implementations, News, updated August 2004, printed from Internet at: <a href="http://www.cs.columbia.edu/sip/news.html">http://www.cs.columbia.edu/sip/news.html</a> (4 pages).	
MK	27	Measures network performance and predicts the impact of changes, Chariot, 2004, NetIQ Corporation (2 pages).	
MK	28	netIQ: Chariot, 1993-2004, NetIQ Corporation, printed from Internet at: <a href="http://www.netiq.com/products/chr/default.asp?print=true">http://www.netiq.com/products/chr/default.asp?print=true</a> (1 page).	
MK	29	Delivers comprehensive service management for windows, UNIX and Linux systems and applications, NetIQ AppManager Suite, 2004, NetIQ Corporation (4 pages).	
MK	30	Delivers Enterprise VoIP QoS and Management, AppManager for VoIP, 2004, NetIQ Corporation (4 pages).	
MK	31	NetIQ's VoIP Management Solution, 2004, NetIQ Corporation (2 pages).	
MK	32	NetIQ: Appmanager for VoIP, 1993-2004, NetIQ Corporation, printed from the Internet at: <a href="http://www.netiq.com/products/am/modules/voip.asp?print=true">http://www.netiq.com/products/am/modules/voip.asp?print=true</a> (1 page).	
MK	33	PEARSALL, S., et al., Doing a VoIP Assessment with Vivinet Assessor, netIQ Work Smarter, 2001-2002, NetIQ Corporation (19 pages).	
MK	34	Delivers the leading software solution for assessing a data network's readiness for VoIP, Vivinet Assessor, 2004, NetIQ Corporation (2 pages).	
MK	35	NetIQ: Vivinet Assessor, 1993-2004, NetIQ Corporation, printed from the Internet at: <a href="http://www.netiq.com/products/va/default.asp?print=true">http://www.netiq.com/products/va/default.asp?print=true</a> (1 pages).	
MK	36	Pinpoints VoIP quality problems in minutes, Vivinet Diagnostics, 2004, NetIQ Corporation (2 pages).	
MK	37	NetIQ: Vivinet Diagnostics, 1993-2004, NetIQ Corporation, printed from the Internet at: <a href="http://www.netiq.com/products/vd/default.asp?print=true">http://www.netiq.com/products/vd/default.asp?print=true</a> (1 page).	
MK	38	NetIQ: VoIP Management Solution, 1993-2004, NetIQ Corporation, printed from the Internet at: <a href="http://www.netiq.com/solutions/voip/default.asp?print=true">http://www.netiq.com/solutions/voip/default.asp?print=true</a> (1 page).	
MK	39	Micromuse: Products & Solutions – Netcool Suite Overview, 2004, Micromuse, Inc., printed from the Internet at: <a href="http://www.micromuse.com/products_sols/index.html">http://www.micromuse.com/products_sols/index.html</a> (9 pages).	
MK	40	Netcool Solutions for Voice Over IP, RealTime Service Quality Management for IP Telephony Services, Micromuse, Inc. (4 pages).	

BEST AVAILABLE COPY

*[Handwritten signature]* 10/20/04



PTO/SB/08a (05-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

3

of

4

**Complete If Known**

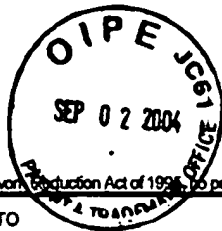
Application Number	09/689,222
Filing Date	October 11, 2000
First Named Inventor	Siddhartha Nag et al.
Art Unit	2143
Examiner Name	Mitra Kianersi
Attorney Docket Number	59033-278849

**OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
MK	41	Netcool Solutions for Enterprise, End-To-End Business and Service Assurance, Micromuse, Inc. (6 pages).	
MK	42	Netcool/System Service Monitors White Paper, Including Netcool/Applications Service Monitors, 2003, Micromuse, Inc. (8 pages).	
MK	43	Netcool/Monitors Product Family – Realtime and Trended Performance, Status and Service Monitoring, 2004, Micromuse, Inc. (4 pages).	
MK	44	Netcool/Usage Service Monitors White Paper (Netcool/USMs), 2003, Micromuse, Inc. (11 pages).	
MK	45	Netcool/Precision for IP Networks: Discovery & Topology-Based /RCA, Micromuse, Inc., (2 pages).	
MK	46	Realtime Event Management for Business and Service Assurance, Micromuse, Inc. (4 pages).	
MK	47	FARRELL, C., Grappling With Management Of IP Telephony, Internet Telephony, May 2004, Technology Marketing Corporation (2 pages).	
MK	48	NetIQ VoIP Manager Connector For Netcool/OMNibus, Micromuse, Inc. (1 page).	
MK	49	ALLEN, P., Putting new service management tactics to work, Service providers can make smarter use of service management technology, ServerWorld, Volume 16, No.4, April 2002 (3 pages).	
MK	50	HP OpenView Network Services – Management – Business blueprint, 2004, Hewlett-Packard Development Company, L.P. (6 pages).	
MK	51	Management Software – IP telephony management solutions overview & features, 2004, Hewlett-Packard Development Company, L.P., printed from the Internet at: <a href="http://www.openview.hp.com/cgi-bin/pf-new.cgi?IN=hp/products/nnm/prod_nnm_0002.h...">http://www.openview.hp.com/cgi-bin/pf-new.cgi?IN=hp/products/nnm/prod_nnm_0002.h...</a> (1 page).	
MK	52	Management Software – Alliance with Cisco Systems, Inc., 2004, Hewlett-Packard Development Company, L.P., printed from the Internet at: <a href="http://www.openview.hp.com/cgi-bin/pf-new.cgi?IN=hp/partners/alliances/pall_0001.html">http://www.openview.hp.com/cgi-bin/pf-new.cgi?IN=hp/partners/alliances/pall_0001.html</a> (2 pages).	
MK	53	Cisco HP Smart Way 2004 Solution Brief, 2003, Cisco Systems and Hewlett-Packard (4 pages).	
MK	54	HP Open View, Network Node Manager Smart Plug-In for Advanced routing 1.0 Data sheet, 2003-2004, Hewlett-Packard Development Company, L.P. (4 pages).	
MK	55	HP OpenView Performance Insight Report Pack for IP Telephony 1.2, 2004, Hewlett-Packard Development Company, L.P. (8 pages).	
MK	56	hp OpenView, glanceplus and glanceplus pak product brief, 2003, Hewlett-Packard Company (6 pages).	
MK	57	HP OpenView, Performance Manager, Performance Monitor and Performance Agent data sheet, 2003, Hewlett-Packard Development Company, L.P. (4 pages).	
MK	58	HP Open View, Service Quality Manager 1.1 data sheet, 2003, Hewlett-Packard Development Company, L.P. (4 pages).	
MK	59	hp OpenView, service Information portal 3.1 product brief, 2003, Hewlett-Packard Company (4 pages).	

BEST AVAILABLE COPY

\* *[Signature]* \* 10/20/04



PTO/SB/08a (05-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

4

of

4

**Complete if Known**

Application Number	09/689,222
Filing Date	October 11, 2000
First Named Inventor	Siddhartha Nag et al.
Art Unit	2143
Examiner Name	Mitra Kianersi
Attorney Docket Number	59033-278849

**OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
MK	60	hp OpenView, problem diagnosis 1.1 product brief, 2002, Hewlett-Packard Company (4 pages).	
MK	61	HP OpenView Performance Insight Pack for Infrastructure Usage, 2004, Hewlett-Packard Development Company, L.P. (6 pages).	
MK	62	HP OpenView, Network Node Manager Smart Plug-In for Advance Routing 1.0 Data sheet, 2003-2004, Hewlett-Packard Development Company, L.P. (4 pages).	
MK	63	HP OpenView, Customer Views 1.4 for Network Node Manager data sheet, 2003, Hewlett-Packard Development Company, L.P. (4 pages).	
MK	64	Hewlett-Packard OpenView – about Hewlett-Packard OpenView, 2004, Hewlett-Packard Development Company, L.P., printed from the Internet at: <a href="http://www.managementsoftware.hp.com/cgi-bin/pf-new.cgi?IN=hp/about/index.html">http://www.managementsoftware.hp.com/cgi-bin/pf-new.cgi?IN=hp/about/index.html</a> (2 pages).	
MK	65	hp OpenView, service quality manager product overview, 2003, Hewlett-Packard Company (16 pages).	
MK	66	Intelligent Diagnostics for Networks, Beyond root-cause analysis, A white paper from HP – preliminary*, 2003, Hewlett-Packard Development Company, L.P. (12 pages).	
MK	67	HP OpenView, Operations 7.x for Windows, Firewall Configuration white paper, 2002, Hewlett-Packard Company (60 pages).	
MK	68	Gain strategic advantage with HP IT Service Management, White paper, 2003, Hewlett-Packard Development Company, L.P. (8 pages).	
MK	69	HARBAUM, T., et al., Layer 4+Switching with QOS Support for RTP and HTTP, 1999, Global Telecommunications Conference - GLOBECOM '99, pages 1591-1596.	
Examiner Signature	<i>Mitra K</i>		Date Considered 10/28/04

\*\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**BEST AVAILABLE COPY**